

For calendar year 2019, or tax year beginning 01-01-2019, and ending 12-31-2019

Name of foundation JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION		A Employer identification number 13-5673173	
Number and street (or P.O. box number if mail is not delivered to street address) 90 PARK AVENUE - 33RD FLOOR		Room/suite	B Telephone number (see instructions) (212) 687-4470
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10016		C If exemption application is pending, check here ▶ <input type="checkbox"/>	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here..... ▶ <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ... ▶ <input type="checkbox"/>	
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 316,705,094	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	1,699,504			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	1,290,055	1,290,055		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	54,425,447			
	b Gross sales price for all assets on line 6a 131,522,507				
	7 Capital gain net income (from Part IV, line 2)		54,425,447		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less: Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	-42,204	-126,353		
	12 Total. Add lines 1 through 11	57,372,802	55,589,149		
	13 Compensation of officers, directors, trustees, etc.	1,027,220	43,760		989,453
	14 Other employee salaries and wages	1,033,057	78,616		954,441
	15 Pension plans, employee benefits	182,516	10,842		627,766
	16a Legal fees (attach schedule)	6,595	0		6,595
	b Accounting fees (attach schedule)	49,142	22,114		27,028
	c Other professional fees (attach schedule)	1,466,005	1,326,509		100,006
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	1,077,887	8,735		0
	19 Depreciation (attach schedule) and depletion	81,463	4,839		
	20 Occupancy	1,258,704	74,767		1,196,190
	21 Travel, conferences, and meetings	252,239	7,885		244,354
	22 Printing and publications				
	23 Other expenses (attach schedule)	2,107,693	552,904		546,783
	24 Total operating and administrative expenses. Add lines 13 through 23	8,542,521	2,130,971		4,692,616
	25 Contributions, gifts, grants paid	9,525,000			9,569,750
	26 Total expenses and disbursements. Add lines 24 and 25	18,067,521	2,130,971		14,262,366
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	39,305,281			
	b Net investment income (if negative, enter -0-)		53,458,178		
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	800	800	800
	2 Savings and temporary cash investments	792,932	8,136,092	8,136,092
	3 Accounts receivable ▶ <u>106,626</u>			
	Less: allowance for doubtful accounts ▶ _____	21,131	106,626	106,626
	4 Pledges receivable ▶ <u>283,556</u>			
	Less: allowance for doubtful accounts ▶ _____	185,552	283,556	283,556
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____			
	Less: allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges		7,047	7,047
	10a Investments—U.S. and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	1,402	20,931,960	20,931,960
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment: basis ▶ _____			
Less: accumulated depreciation (attach schedule) ▶ _____				
12 Investments—mortgage loans				
13 Investments—other (attach schedule)	254,837,299	248,947,677	248,947,677	
14 Land, buildings, and equipment: basis ▶ <u>1,819,471</u>				
Less: accumulated depreciation (attach schedule) ▶ <u>1,314,589</u>	579,987	504,882	504,882	
15 Other assets (describe ▶ _____)	15,306,327	37,786,454	37,786,454	
16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	271,725,430	316,705,094	316,705,094	
Liabilities	17 Accounts payable and accrued expenses	509,418	584,682	
	18 Grants payable	5,617,500	5,572,750	
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)	8,290,785	8,960,359	
	23 Total liabilities (add lines 17 through 22)	14,417,703	15,117,791	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ <input checked="" type="checkbox"/> and complete lines 24, 25, 29 and 30.			
	24 Net assets without donor restrictions	256,951,224	301,015,031	
	25 Net assets with donor restrictions	356,503	572,272	
	Foundations that do not follow FASB ASC 958, check here ▶ <input type="checkbox"/> and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds			
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
	29 Total net assets or fund balances (see instructions)	257,307,727	301,587,303	
30 Total liabilities and net assets/fund balances (see instructions) .	271,725,430	316,705,094		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return)	1	257,307,727
2 Enter amount from Part I, line 27a	2	39,305,281
3 Other increases not included in line 2 (itemize) ▶ _____	3	4,974,295
4 Add lines 1, 2, and 3	4	301,587,303
5 Decreases not included in line 2 (itemize) ▶ _____	5	0
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	6	301,587,303

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See Additional Data Table			
b			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a See Additional Data Table			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	54,425,447
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		3	

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?



Yes



No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2018	16,061,498	305,017,224	0.052658
2017	13,586,591	266,157,668	0.051047
2016	13,158,092	252,372,229	0.052138
2015	13,423,946	265,572,587	0.050547
2014	12,791,809	262,407,126	0.048748

2 Total of line 1, column (d)	2	0.255138
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	0.051028
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	329,792,362
5 Multiply line 4 by line 3	5	16,828,645
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	534,582
7 Add lines 5 and 6	7	17,363,227
8 Enter qualifying distributions from Part XII, line 4	8	14,268,724

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	1,069,164
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0
3	Add lines 1 and 2.	3	1,069,164
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,069,164
6	Credits/Payments:		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	661,885
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	550,000
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments. Add lines 6a through 6d.	7	1,211,885
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached.	8	0
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	142,721
11	Enter the amount of line 10 to be: Credited to 2020 estimated tax 142,721 Refunded	11	0

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>		No
c Did the foundation file Form 1120-POL for this year?		No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0 (2) On foundation managers. \$ 0		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>		No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	Yes	
b If "Yes," has it filed a tax return on Form 990-T for this year?	Yes	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	Yes	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	Yes	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2019 or the taxable year beginning in 2019? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>		No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.GF.ORG</u>	13	Yes	
14	The books are in care of ► <u>JULIE KLEIN</u> Telephone no. ► <u>(212) 687-4470</u>			

Located at ► 90 PARK AVENUE - 33RD FLOOR NEW YORK NYZIP+4 ► 10016

15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here ► <input type="checkbox"/>			
	and enter the amount of tax-exempt interest received or accrued during the year ► 15			
16	At any time during calendar year 2019, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign country ►			

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions	1b	No
	Organizations relying on a current notice regarding disaster assistance check here. ► <input type="checkbox"/>		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2019?	1c	No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2019, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2019? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20____, 20____, 20____, 20____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2019 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2019.)	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2019?	4b	No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a	During the year did the foundation pay or incur any amount to:		Yes	No
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4)	Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions.		5b	No
	Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>		
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945–5(d).	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	6b	No
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	7b	
b	If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?			
8	Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation. See instructions				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Additional Data Table				
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MARCUS DIAMOND	CHIEF ADVANCEMENT OF	255,000	48,498	0
90 PARK AVE NEW YORK, NY 10016	40.00			
BARBARA GLEASON	ASST TREASURER/ASST	99,000	21,764	0
90 PARK AVE NEW YORK, NY 10016	40.00			
BARBARA ESPOSITO	ASST TREASURER/ASST	84,250	34,732	0
90 PARK AVE NEW YORK, NY 10016	40.00			
KEITH LEWIS	PROGRAM MANAGER	94,000	21,843	0
90 PARK AVE NEW YORK, NY 10016	40.00			
MARY KIFFER	ADMINISTRATIVE ASST	70,000	44,658	0
90 PARK AVE NEW YORK, NY 10016	40.00			
Total number of other employees paid over \$50,000.				14

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)
3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
PARTNERS CAPITAL 1330 AVENUE OF THE AMERICAS NEW YORK, NY 10019	INVESTMENT MANAGEMENT	1,324,680
HIGHLINE SYSTECH INC 2 WOOSTER STREET NEW YORK, NY 10013	IT SERVICES CONSULTING	204,000
LOIS L LINDAUER SEARCHES LLC 420 BOYLESTON STREET STE 604 BOSTON, MA 02116	EXECUTIVE SEARCH CONSULTANT	73,290
IGNOTUM INC 125 KETAY DRIVE SOUTH EAST NORTHPORT, NY 11731	IT SYSTEMS CONSULTING	54,000
Total number of others receiving over \$50,000 for professional services. ►		0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ►	0

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities.	1a	294,539,329
b	Average of monthly cash balances.	1b	2,488,798
c	Fair market value of all other assets (see instructions).	1c	37,786,454
d	Total (add lines 1a, b, and c).	1d	334,814,581
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	334,814,581
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	5,022,219
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	329,792,362
6	Minimum investment return. Enter 5% of line 5.	6	16,489,618

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6.	1	16,489,618
2a	Tax on investment income for 2019 from Part VI, line 5.	2a	1,069,164
b	Income tax for 2019. (This does not include the tax from Part VI.).	2b	250
c	Add lines 2a and 2b.	2c	1,069,414
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	15,420,204
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	15,420,204
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	15,420,204

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	1a	14,262,366
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	6,358
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	14,268,724
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	14,268,724

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				15,420,204
2 Undistributed income, if any, as of the end of 2019:				
a Enter amount for 2018 only.			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2019:				
a From 2014.				
b From 2015.	463,107			
c From 2016.	574,373			
d From 2017.	454,282			
e From 2018.	1,549,191			
f Total of lines 3a through e.	3,040,953			
4 Qualifying distributions for 2019 from Part XII, line 4: ► \$ 14,268,724				
a Applied to 2018, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2019 distributable amount.				14,268,724
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2019. (If an amount appears in column (d), the same amount must be shown in column (a).)	1,151,480			1,151,480
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	1,889,473			
b Prior years' undistributed income. Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b. Taxable amount—see instructions.		0		
e Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions.			0	
f Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020.				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).	0			
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions).	0			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a.	1,889,473			
10 Analysis of line 9:				
a Excess from 2015.				
b Excess from 2016.				
c Excess from 2017.	340,282			
d Excess from 2018.	1,549,191			
e Excess from 2019.				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling. ▶					
b Check box to indicate whether the organization is a private operating foundation described in section <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5)					
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . .					
c "Support" alternative test—enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:	
a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)	
b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.	
2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:	
Check here <input type="checkbox"/> if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions	
a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed: JOHN SIMON GUGGENHEIM MEMORIAL FDTN 90 PARK AVENUE NEW YORK, NY 10016 (212) 687-4470	
b The form in which applications should be submitted and information and materials they should include: THE FOUNDATION HAS A STANDARD APPLICATION WHICH SPECIFIES THE MATERIAL THE APPLICANT SHOULD SUBMIT FOR HIS/HER FIELD.	
c Any submission deadlines: SEPTEMBER 15	
d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors: INDIVIDUALS IN THE U.S.A. AND CANADA	

Part XV **Supplementary Information** (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	9,569,750
b <i>Approved for future payment</i> See Additional Data Table				
Total			▶ 3b	5,572,750

Enter gross amounts unless otherwise indicated.

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Form **990-PF** (2019)

Part XVII

- | | | | |
|--|--|-----|----|
| | | Yes | No |
|--|--|-----|----|

--	--	--

- | | | |
|-------|--|----|
| 1a(1) | | No |
| 1a(2) | | No |

--	--	--

- | | | |
|--------------|--|-----------|
| 1b(1) | | No |
| 1b(2) | | No |
| 1b(3) | | No |
| 1b(4) | | No |
| 1b(5) | | No |
| 1b(6) | | No |

1c		No
----	--	----

value
ue

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations

described in section 501(c) (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

<p>Sign Here</p> <p>*****</p> <p>_____</p> <p>Signature of officer or trustee</p>	<p>2020-11-09</p> <p>_____</p> <p>Date</p>	<p>*****</p> <p>_____</p> <p>Title</p>
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May the IRS discuss this return with the preparer shown below

(see instr.) ☒ **Yes** ☐ **No**

Paid Preparer Use Only	LAUREN CRESCI				
	Firm's name ► LUTZ AND CARR CPAS LLP				Firm's EIN ► 13-1655065
	Firm's address ► 551 FIFTH AVENUE SUITE 400 NEW YORK, NY 10176				Phone no. (212) 697-2299

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
KING STREET CAPITAL, LTD.	P		
OWL CREEK OVERSEAS FUND	P		
VIKING LONG	P		
DAVIDSON KEMPNER DISTRESSED OPPORTUNITIES INT'L FUND	P		
HHR ATLAS FUND, LTD.	P		
GS VINTAGE FUND V OFFSHORE, LP	P		
GS MEZZANINE PARTNERS V OFFSHORE FUND L.P	P		
GS INSTITUTIONAL INFRASTRUCTURE PARTNERS, LP	P		
GS MEZZANINE PARTNERS OFFSHORE 2006, LP	P		
JP MORGAN - PUBLICLY TRADED SECURITIES	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
4,783,336		1,961,085	2,822,251
19,061,383		6,561,469	12,499,914
6,000,000		2,223,331	3,776,669
14,542,686		5,395,745	9,146,941
16,769,505		6,312,182	10,457,323
323,349			323,349
13,395			13,395
277,010			277,010
6,292			6,292
25,269,689		25,777,047	-507,358

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			2,822,251
			12,499,914
			3,776,669
			9,146,941
			10,457,323
			323,349
			13,395
			277,010
			6,292
			-507,358

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
CAPITAL GAINS PASSED THROUGH FROM LIMITED PARTNERSHIPS	P		
AMERICAN SECURITIES PARTNERS V, LP	P		
MILLENIUM TECHNOLOGY VALUE PARTNERS, LP	P		
CHARLES SCHWAB - PUBLICLY TRADED SECURITIES	P		
CASADIN PARTNERS OFFSHORE FUND, LTD	P		
AVORO LIFE SCIENCES OFFSHORE FUND, LTD	P		
CAPULA TAIL RISK FUND, LTD	P		
BOSTWICK COMPOUND OFFSHORE, LTD	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
373,135			373,135
553,856		402,200	151,656
26,864			26,864
8,688,038		8,427,683	260,355
2,000,000		1,259,169	740,831
11,000,000		3,277,149	7,722,851
7,328,647		7,000,000	328,647
14,505,322		8,500,000	6,005,322

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			373,135
			151,656
			26,864
			260,355
			740,831
			7,722,851
			328,647
			6,005,322

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
EDWARD HIRSCH	PRESIDENT AND TRUSTEE 40.00	544,170	37,170	0
90 PARK AVENUE NEW YORK, NY 10016				
ANDRE BERNARD	V.P. AND SECRETARY 40.00	291,060	63,502	0
90 PARK AVENUE NEW YORK, NY 10016				
JULIE R KLEIN	C.F.O. AND TREASURER 40.00	190,000	29,927	0
90 PARK AVENUE NEW YORK, NY 10016				
EMERY BROWN	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
ROBERT ALLAN CARO	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
JOEL CONARROE	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
DOROTHY TAPPER GOLDMAN	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
DR WILLIAM P KELLY	CHAIRMAN AND TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
DWIGHT E LEE	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
LILI LYNTON	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
ERIC S MASKIN	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
STACY SCHIFF	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
CINDY SHERMAN	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
ERIC SCHWARTZ	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
CHARLES P STEVENSON JR	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
BENJAMIN TAYLOR	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
SANDRA S WIJNBERG	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
ELLEN TAAFFE ZWILICH	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
WADDELL W STILLMAN	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				
E WAYNE NORDBERG	TRUSTEE 1.00	0	0	0
90 PARK AVENUE NEW YORK, NY 10016				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ADA FERRER 1 WASHINGTON SQUARE VILLAGE NEW YORK, NY 10012	NONE	I	CUBA: AN AMERICAN HISTORY	50,000
ADELA PINCH435 S STATE STREET ANN ARBOR, MI 48109	NONE	I	VICTORIAN FICTION AND THE LOCATION OF EXPERIENCE	25,000
ADRIANA PETRYNA57 BALSAM LANE PRINCETON, NJ 08540	NONE	I	WHAT IS A HORIZON? ABRUPT CLIMATE CHANGE AND HUMAN FUTURES	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
AKI SASAMOTO 131 74TH STREET APT 2H BROOKLYN, NY 11209	NONE	I	FINE ARTS	25,000
ALEXEY FEDOROV 210 WHITNEY AVENUE NEW HAVEN, CT 06511	NONE	I	SOLVING THE MYSTERIES OF PLIOCENE WARMTH: RETHINKING THE GLOBAL OCEAN CONVEYOR	23,000
AMY FELDMAN16 VAN DYKE STREET BROOKLYN, NY 11231	NONE	I	FINE ARTS	15,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
AMY GERSTLER2151 PRINCETON AVE LOS ANGELES, CA 90026	NONE	I	POETRY	25,000
AMY PLEASANT 634 39TH STREET SOUTH BIRMINGHAM, AL 35222	NONE	I	FINE ARTS	27,500
ANDREW NEWMAN 648 2ND STREET APT 5 BROOKLYN, NY 11215	NONE	I	LITERATURE AND THE AMERICAN WAY: A HISTORY OF THE HIGH-SCHOOL CANON	27,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ANDREW SEAN GREER 93 WEBSTER STREET SAN FRANCISCO, CA 94117	NONE	I	FICTION	50,000
ANIRUDDH D PATEL 490 BOSTON AVENUE MEDFORD, MA 02155	NONE	I	EVOLUTIONARY MUSIC COGNITION	50,000
ANN COOPER ALBRIGHT 180 MORGAN STREET OBERLIN, OH 440741514	NONE	I	SIMONE FORTI: IMPROVISING A LIFE	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ANN MCCOY449 TROUTMAN ST BROOKLYN, NY 11237	NONE	I	FINE ARTS	30,000
ANNA BADKHEN41 S 45TH STREET PHILADELPHIA, PA 19104	NONE	I	AN ANATOMY OF LOSTNESS	32,500
ANNA WEBBER23-52 37TH STREET ASTORIA, NY 11105	NONE	I	MUSIC COMPOSITION	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ANNE MCNEIL2629 PIN OAK DRIVE ANN ARBOR, MI 48103	NONE	I	A SECOND LIFE: REIMAGINING THE PLASTIC LIFECYCLE WITH CHEMISTRY	25,000
ANTHONY HERNANDEZ 746 EAST 250 NORTH FAIRFIELD, ID 83327	NONE	I	PHOTOGRAPHY	27,500
ARCHANA VENKATESAN 4001 MARTIS STREET WEST SACRAMENTO, CA 95691	NONE	I	POETRY MAKES THE WORLD: THE FESTIVAL OF RECITATION AT VI??U TEMPLES IN TAMIL NADU	30,000
Total ► 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ARI KELMAN1 SHIELDS AVENUE DAVIS, CA 95616	NONE	I	FOR LIBERTY AND EMPIRE: HOW THE CIVIL WAR BLED INTO THE INDIAN WARS	10,000
BARBARA DAVIDSON 1707 EWING STREET LOS ANGELES, CA 90026	NONE	I	PHOTOGRAPHY	65,000
BART D EHRMAN UNIV/CARO CAROLINA HALL 3225 CHAPEL HILL, NC 27599	NONE	I	THE INVENTION OF HEAVEN AND HELL	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BEN ALTMAN1041 COMFORT ROAD SPENCER, NY 14883	NONE	I	PHOTOGRAPHY	25,000
BENITA RAPHAN 101 WEST 12 STREET APT 7-Z NEW YORK, NY 10011	NONE	I	FILM-VIDEO	16,250
BISSERA V PENTCHEVA355 ROTH WAY STANFORD, CA 94305	NONE	I	ANIMATION IN MEDIEVAL ART	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BRAD SNYDER239 11TH STREET SE WASHINGTON, DC 20003	NONE	I	DEMOCRATIC JUSTICE: FELIX FRANKFURTER, JUDICIAL RESTRAINT, AND THE CREATION OF THE LIBERAL ESTABLISHMENT	25,000
BRANDEN W JOSEPH 1190 AMSTERDAM AVE NEW YORK, NY 10027	NONE	I	FORMS OF LIFE: KATHY ACKER, JACK SMITH, LEE LOZANO, AND CAROLEE SCHNEEMANN	25,000
BRETT STORY72 NORTHUMBERLAND ST TORONTO, CANADA M6H 1R3 CA	NONE	I	FILM-VIDEO	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BRIAN DELAY 631 SAN GABRIEL AVENUE ALBANY, CA 94706	NONE	I	MEANS OF DESTRUCTION: GUNS, FREEDOM, AND DOMINATION IN THE AMERICAS	25,000
BRIGID MCCAFFREY 592 VENTURA STREET ALTADENA, CA 91001	NONE	I	FILM-VIDEO	35,000
BROOKE HOLMES 147 EAST PYNE BUILDING PRINCETON, NY 08540	NONE	I	THE TISSUE OF THE WORLD: SYMPATHY AND THE IDEA OF NATURE IN GRECO-ROMAN ANTIQUITY	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CARL COREYN8657 1020TH STREET RIVER FALLS, WI 54022	NONE	I	PHOTOGRAPHY	32,500
CARL SCHIMMEL1138 ELM STREET GRINNELL, IA 50112	NONE	I	MUSIC COMPOSITION	27,500
CARMEN GIMNEZ SMITH 181 TURNERS ST NW BLACKSBURG, VA 24061	NONE	I	POETRY	40,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CARMEN WINANT 3859 OLENTANGY BLVD COLUMBUS, OH 43214	NONE	I	PHOTOGRAPHY	30,000
CAROL ANDERSON550 ASBURY CIRCLE ATLANTA, GA 30322	NONE	I	THE SECOND: RACE, GUNS & A MOST DEADLY DOUBLE-STANDARD AT THE CORE OF OUR FUNDAMENTAL RIGHTS	25,000
CAROL DYSINGER 223 CONGRESS STREET APT 4L BROOKLYN, NY 11201	NONE	I	FILM-VIDEO	30,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CARRIE YAMAOKA 244 EAST 5TH STREET APT 1 NEW YORK, NY 10003	NONE	I	FINE ARTS	32,500
CASSIM SHEPARD 438 LAFAYETTE AVENUE APT 1 BROOKLYN, NY 11238	NONE	I	SELF-HELP HOUSING: INCREMENTAL APPROACHES TO SHELTER SINCE 1965	30,000
CATHERINE LACEY 1364 N WOLCOTT AVE CHICAGO, IL 60622	NONE	I	FICTION	65,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CATHERINE OPIE618 MOULTON AVENUE LOS ANGELES, CA 90031	NONE	I	PHOTOGRAPHY	50,000
CECILIA ALDARONDO 35 DRISCOLL HALL DRIVE WILLIAMSTOWN, MA 01267	NONE	I	FILM-VIDEO	55,000
CHARLES L BOSK3718 LOCUST WALK PHILADELPHIA, PA 191046299	NONE	I	MISTAKES WERE CHANGED: MEDICAL ERROR OVER FOUR DECADES	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHARLES YUEN52 3RD AVE BROOKLYN, NY 11217	NONE	I	FINE ARTS	30,000
CHARLIE HAILEY2115 NW 7TH PLACE GAINESVILLE, FL 32603	NONE	I	PLACES BUILT OF AIR: PORCH STORIES FROM STOOP TO STOA	25,000
CHRIS LARSON1195 BURNS AVENUE ST PAUL, MN 55106	NONE	I	FINE ARTS	27,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHRISTIAN LEE NOVETZKE 2575 NE 85TH STREET SEATTLE, WA 98115	NONE	I	DEVOTION, DEMOCRACY, AND DISSENT: RELIGION AND A VERNACULAR PUBLIC ETHICS IN INDIA	50,000
CHRISTIANE CEGAVSKE 1760 MAUPIN ROAD OAKLAND, OR 97462	NONE	I	FILM-VIDEO	30,000
CHRISTOPHER A BAIL 254 SOCPSYCH HALL DURHAM, NC 27708	NONE	I	DISRUPTING SOCIAL MEDIA ECHO CHAMBERS	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHRISTOPHER MERRILL 100 SHAMBAUGH HOUSE IOWA CITY, IA 52245	NONE	I	THE TRIALS OF ROGER WILLIAMS: A BIOGRAPHY	25,000
CHRISTOPHER RUDD 820 RIVERSIDE DRIVE APT 3B NEW YORK, NY 10032	NONE	I	CHOREOGRAPHY	65,000
CHRISTOPHER TRAPANI 2061 23RD STREET ASTORIA, NY 111053245	NONE	I	MUSIC COMPOSITION	65,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHRISTY L HAYNES 4948 THOMAS AVENUE SOUTH MINNEAPOLIS, MN 55410	NONE	I	CHARACTERIZATION OF THE MOLECULAR CORONA ACQUIRED BY TECHNOLOGICALLY RELEVANT ENGINEERED NANOPARTICLES IN ENVIRONMENTAL MATRICES	25,000
CINDY COX104 MORRISON HALL 1200 BERKELEY, CA 947201200	NONE	I	MUSIC COMPOSITION	25,000
COLIN GEE 860 EAST 18TH STREET APT 2D BROOKLYN, NY 11230	NONE	I	CHOREOGRAPHY	45,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CONSTANCE ALLEN NATHANSON 531 MAIN STREET APT 1014 NEW YORK, NY 10044	NONE	I	BLOOD, POLITICS, AND DEATH	25,000
CRAIG DRENNEN33 GILMER STREET SE ATLANTA, GA 30303	NONE	I	FINE ARTS	25,000
DANIEL DUFORD 3144 NE SEVENTH AVENUE PORTLAND, OR 97212	NONE	I	FINE ARTS	32,500
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DANIEL JOSEPH MARTINEZ 5438 9TH AVENUE LOS ANGELES, CA 90043	NONE	I	FINE ARTS	50,000
DAVE HARDY466 HUMBOLDT STREET BROOKLYN, NY 11211	NONE	I	FINE ARTS	27,500
DAVE HULLFISH BAILEY 13552 ERWIN ST VAN NUYS, CA 91401	NONE	I	FINE ARTS	30,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DAVID BLEI2828 BROADWAY APT 8B NEW YORK, NY 10025	NONE	I	EXPRESSIVE PROBABILISTIC MODELS: DESIGN, INFERENCE, AND CRITICISM	38,000
DAVID CAREY4805 KESWICK ROAD BALTIMORE, MD 21210	NONE	I	PANDEMIC POLITICS IN GUATEMALA AND ECUADOR, 1900-1950: RACE, HEALING, AND PUBLIC HEALTH	25,000
DAVID JERISON 48 OLD MIDDLESEX ROAD BELMONT, MA 02478	NONE	I	FREE BOUNDARIES AND INTERFACES IN PARTIAL DIFFERENTIAL EQUATIONS	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DAVID LEVINE12 HOLYOKE STREET CAMBRIDGE, MA 02138	NONE	I	DRAMA AND PERFORMANCE ART	55,000
DAVID MAISEL100 EBBTIDE AVE SAUSALITO, CA 94965	NONE	I	PHOTOGRAPHY	30,000
DAVID YEARSLEY256 EAST AVENUE ITHACA, NY 14853	NONE	I	SEBASTIAN LAUGHS: J. S. BACH AS MUSICAL HUMORIST	20,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DEB OLIN UNFERTH2503 SPRING LANE AUSTIN, TX 78703	NONE	I	FICTION	45,000
DEREK R PETERSON915 LUTZ AVENUE ANN ARBOR, MI 48103	NONE	I	THE INFRASTRUCTURE OF POLITICS IN POST-COLONIAL UGANDA	50,000
DEVIN FORE203 EAST PYNE BUILDING PRINCETON, NJ 08544	NONE	I	ALL THE GRAPHS: SOVIET FACTOGRAPHY AND THE EMERGENCE OF AVANT-GARDE DOCUMENTARY	24,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DEVONEY LOOSER 1102 S MCALLISTER AVENUE TEMPE, AZ 85281	NONE	I	SISTER NOVELISTS BEFORE THE BRONTES: THE MISSES PORTER, FAME, AND MISFORTUNE IN EARLY NINETEENTH-CENTURY BRITAIN	50,000
DOHEE LEE365 EUCLID AVE 209 OAKLAND, CA 94610	NONE	I	DRAMA AND PERFORMANCE ART	35,000
DORA BUDOR20 JAY STREET SUITE 736 BROOKLYN, NY 11201	NONE	I	FINE ARTS	30,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DOUGLAS SMITH 407 WEST PROSPECT STREET SEATTLE, WA 98119	NONE	I	TRANSLATION OF KONSTANTIN PAUSTOVSKY'S STORY OF A LIFE	65,000
EDMUND RUSSELL 6123 CALLERY STREET PITTSBURGH, MT 15206	NONE	I	UNITED BY LIGHTNING: THE U.S. TRANSCONTINENTAL TELEGRAPH OF 1861	25,000
EDRISS S TITI3368 TAMU COLLEGE STATION, TX 778433368	NONE	I	MATHEMATICAL ANALYSIS OF CLIMATE MODELS	33,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
EDWARD JACOBS 302 AJ FLETCHER MUSIC CENTER GREENVILLE, NC 27858	NONE	I	MUSIC COMPOSITION	27,500
EDWARD WRIGHT-ROS 2301 VANDERBILT PLACE NASHVILLE, TN 37235	NONE	I	DEVOTION IN MOTION: PILGRIMAGE IN MODERN MEXICO	25,000
EKATERINA PRAVILOVA 111 DICKINSON HALL PRINCETON, NJ 08540	NONE	I	POLITICAL MONEY: A HISTORY OF THE RUSSIAN RUBLE, 1768- 1917	10,000
Total ► 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ELEANOR KAUFMAN 827 LEVERING AVENUE APT 803 LOS ANGELES, CA 90024	NONE	I	STRUCTURE: A COUNTERHISTORY OF TWENTIETH-CENTURY FRENCH PHILOSOPHY	25,000
ELENA DEL RIVERO 143 AVENUE B APT 3A NEW YORK, NY 10009	NONE	I	FINE ARTS	32,500
ELIGA H GOULD20 ACADEMIC WAY DURHAM, NH 03824	NONE	I	CRUCIBLE OF PEACE: 1783 AND THE FOUNDING OF THE AMERICAN REPUBLIC	25,000
Total ► 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ELISABETH LE GUIN 2112 SOUTH WOODLAND PLACE SANTA ANA, CA 92707	NONE	I	EL CANCIONERO DE SANTA ANA	25,000
ELIZA HITTMAN 200 WILLOUGHBY AVENUE BROOKLYN, NY 11205	NONE	I	FILM-VIDEO	25,000
ELIZABETH LAPENSE404 WILSON ROAD EAST LANSING, MI 48824	NONE	I	FINE ARTS	20,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ELLIOTT HUNDLEY 1001 NORTH MAIN STREET LOS ANGELES, CA 90012	NONE	I	FINE ARTS	60,000
ENTANG WIHARSOPO BOX 108 NORTH SCITUATE, RI 02857	NONE	I	FINE ARTS	20,000
ERIC BAUDELAIRE35 RU DU POTEAU PARIS, FRANCE 75018 FR	NONE	I	FILM-VIDEO	35,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ERIK MUEGGLER 1085 S UNIVERSITY AVE ANN ARBOR, MI 48109	NONE	I	LITERACY, SOVEREIGNTY, AND BONDAGE IN A QING NATIVE HEREDITARY CHIEFTAINSHIP	50,000
ESPERANZA CORTS 202 FIRST AVENUE APT 3 NEW YORK, NY 10009	NONE	I	FINE ARTS	27,500
ESTHER ALLEN15 WEST 11TH ST NEW YORK, NY 10011	NONE	I	TRANSLATION OF THE SILENTIARY AND THE SUICIDES, TWO NOVELS BY ANTONIO DI BENEDETTO	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
EUGENE BIRMAN 7585 SKYLINE BOULEVARD OAKLAND, CA 94611	NONE	I	MUSIC COMPOSITION	27,500
FABIENNE LASSERRE 106 BERGEN STREET BROOKLYN, NY 11421	NONE	I	FINE ARTS	30,000
FARANGIS NURULLA462 LASALLE LONGUEUIL, CANADA J4K 3G3 CA	NONE	I	MUSIC COMPOSITION	30,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
FEI XU913 ADAMS STREET APT B ALBANY, CA 94706	NONE	I	RATIONAL CONSTRUCTIVISM: A NEW APPROACH TO COGNITIVE DEVELOPMENT	50,000
FELIPE SALLESFINE ARTS CENTER 250 AMHERST, MA 09330	NONE	I	MUSIC COMPOSITION	25,000
GENNARO CHIERCHIA 316 BOYLSTON HALL 3RD FLOOR CAMBRIDGE, MA 02138	NONE	I	ORIGINS OF MEANING: QUANTIFIERS AND THE SPONTANEOUS LOGICALITY OF LANGUAGE	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
GEORG ESSL 9748 NORTH COLUMBIA CREEK LANE MEQUON, WI 53092	NONE	I	TOPOLOGICAL SOUND SYNTHESIS	27,500
GINA PETRA ABATEMARCO 423 COURT STREET APT 2 BROOKLYN, NY 11231	NONE	I	FILM-VIDEO	27,500
GLENN DYNNER 439 PEPPER RIDGE ROAD STAMFORD, CT 06905	NONE	I	HASIDISM AS A CULTURE OF RESISTANCE IN INTERWAR AND NAZI-OCCUPIED POLAND	55,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
GUADALUPE MARAVILLA 1021 DECATUR STREET APT 2 BROOKLYN, NY 11207	NONE	I	FINE ARTS	30,000
GUILLERMO GMEZ-PEA 3435 CESAR CHAVEZ 330 SAN FRANCISCO, CA 94110	NONE	I	DRAMA & PERFORMANCE ART	35,000
HANK WILLIS THOMAS323 W 39TH ST NEW YORK, NY 11212	NONE	I	PHOTOGRAPHY	27,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
HEATHER KRAVAS8023 12TH AVE NE SEATTLE, WA 98115	NONE	I	CHOREOGRAPHY	35,000
HEIDI TINSMAN 259 MURRAY KREIGER HALL MAIL CODE 3275 IRVINE, CA 92697	NONE	I	CHINESE LABOR AND MASCULINITY IN THE MAKING OF MODERN LATIN AMERICA	25,000
HELEN SCHULMAN 252 WEST 85TH STREET NEW YORK, NY 10024	NONE	I	FICTION	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
HELENA ROSENBLATT 365 FIFTH AVENUE NEW YORK, NY 10016	NONE	I	AN INTELLECTUAL BIOGRAPHY OF MADAME DE STAEL	25,000
HENRY S RICHARDSON 37 AND O STREETS NW WASHINGTON, DC 20057	NONE	I	THE DIVISION OF MORAL LABOR	20,000
HESTER BLUM384 EAST LINN STREET BELLEFONTE, PA 16823	NONE	I	ICE AGES	55,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
HNG-N TRNG214 W TRINITY AVE DURHAM, NC 27701	NONE	I	FINE ARTS	27,500
HUGH GUSTERSON2110 G ST NW WASHINGTON, DC 20052	NONE	I	TINKERING WITH ARMAGEDDON: NUCLEAR WEAPONS SCIENCE AFTER THE COLD WAR	20,000
IAN VAN COLLER 1113 SOUTH 5TH AVENUE BOZEMAN, MT 59715	NONE	I	PHOTOGRAPHY	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
IBRAM X KENDIPO BOX 43446 WASHINGTON, DC 20010	NONE	I	BONES OF INEQUITY: A NARRATIVE HISTORY OF RACIST POLICIES IN AMERICA	50,000
ILYA VINITSKY17 SPRINGDALE ROAD PRINCETON, NJ 08540	NONE	I	THE ABSOLUTE FAKER: THE AMERICAN DREAMS OF A RUSSIAN CON MAN	25,000
IRENA GRUDZISKA GROSS 164 STATE STREET APT 1 BROOKLYN, NY 11201	NONE	I	ALEXANDER WEISSBERG- CYBULSKI, A BIOGRAPHY	27,500
Total ► 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ITTAI WEINRYB 410 WEST 58TH STREET APT 81 NEW YORK, NY 10019	NONE	I	ART AND FRONTIER	35,000
J G MANNING724 JENNIFERS DRIVE GUILFORD, CT 06437	NONE	I	VOLCANOES, NILE VARIABILITY, AND THE COURSE OF EGYPTIAN HISTORY: THE HISTORICAL AND HUMAN DIMENSION OF CLIMATE CHANGE	50,000
J P SNIADECKI1920 CAMPUS DRIVE EVANSTON, IL 60201	NONE	I	FILM-VIDEO	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
JAMES I PORTER7408 DWINELLE HALL BERKELEY, CA 947202670	NONE	I	LITERARY AESTHETICS AFTER ARISTOTLE	25,000
JAMES VERNON2214 DWINELLE HALL BERKELEY, CA 947202550	NONE	I	HEATHROW: A GLOBAL HISTORY OF NEOLIBERAL BRITAIN	25,000
JANE HAMMOND 75 GRAND STREET APT 4E NEW YORK, NY 10013	NONE	I	FINE ARTS	45,000
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
JANE KAMENSKY3 JAMES STREET CAMBRIDGE, MA 02138	NONE	I	CANDIDA ROYALLE AND THE SEXUAL REVOLUTION: A HISTORY FROM BELOW	50,000
JANET L PRITCHARD 10 MANSFIELD HOLLOW ROAD MANSFIELD CENTER, CT 06250	NONE	I	PHOTOGRAPHY	22,000
JANINE DI GIOVANNI 117 EAST 77TH STREET APT 8A NEW YORK, NY 10075	NONE	I	THE VANISHING: CHRISTIANITY IN AN AGE OF INTOLERANCE	30,000
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
JED ESTY3340 WALNUT STREET PHILADELPHIA, PA 19104	NONE	I	COLD WAR VICTORIANS: HOW THE BRITISH IMAGINATION SHAPED AMERICAN POWER	50,000
JEFFERSON PINDER37 S WABASH AVE CHICAGO, IL 60603	NONE	I	FINE ARTS	50,000
JEFFREY STOCKBRIDGE 319A NORTH 11TH STREET 4TH FLOOR PHILADELPHIA, PA 19107	NONE	I	PHOTOGRAPHY	65,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
JENNIFER GARZA-CUEN 6300 OCEAN DRIVE CORPUS CHRISTI, TX 78412	NONE	I	PHOTOGRAPHY	30,000
JEREMY SCHIPPER1114 POLETT WALK PHILADELPHIA, PA 19122	NONE	I	DENMARK VESEYS BIBLE: BIBLICAL INTERPRETATION AND THE TRIAL THAT CHANGED A NATION	25,000
JESSICA DIMMOCK 535 DEAN STREET APT 514 BROOKLYN, NY 11217	NONE	I	FILM-VIDEO	35,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
JESSICA EATON 1235 AVENUE BERNARD APT 5 OUTREMONT, CANADA H2V 1V7 CA	NONE	I	PHOTOGRAPHY	40,000
JESSICA SILBEY20 COLUMBIA STREET BROOKLINE, MA 02446	NONE	I	AGAINST PROGRESS: INTELLECTUAL PROPERTY AND JUSTICE IN THE INTERNET AGE	25,000
JIM SHROSBREE100 E FILLMORE AVE FAIRFIELD, IA 52556	NONE	I	FINE ARTS	30,000
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
JOAN KANE3850 DELWOOD PLACE ANCHORAGE, AK 995044429	NONE	I	POETRY	30,000
JOCHEN HELLBECK 122 WEST STREET APT 6G BROOKLYN, NY 11222	NONE	I	SOVIET SUFFERING UNDER NAZI RULE: A FORGOTTEN HISTORY	24,000
JOHN DURHAM PETERS63 HIGH STREET NEW HAVEN, CT 06520	NONE	I	WEATHER MEDIA IN THE MODERN WORLD	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
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Name and address (home or business)				
a <i>Paid during the year</i>				
JOHN HEILONE BROOKINGS DRIVE ST LOUIS, MO 631304899	NONE	I	APPEARANCE IN REALITY	25,000
JORGE IGNACIO CORTIASPO BOX 5000 ANNANDALEONHUDSON, NY 12504	NONE	I	DRAMA AND PERFORMANCE ART	55,000
JOYCE E CHAPLIN35 QUINCY STREET CAMBRIDGE, MA 02138	NONE	I	THE FRANKLIN STOVE: HEAT AND LIFE IN THE LITTLE ICE AGE	25,000
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
JULIA CHRISTENSEN 158 SOUTH PROSPECT STREET OBERLIN, OH 44074	NONE	I	FINE ARTS	40,000
JULIE BUFFALOHEAD 966 HAMPDEN AVENUE SAINT PAUL, MN 55114	NONE	I	FINE ARTS	36,000
KAREN HARTMAN1693 11TH AVE 1 BROOKLYN, NY 11218	NONE	I	DRAMA & PERFORMANCE ART	30,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
KATE GILMORE34-33 84TH STREET JACKSON HEIGHTS, NY 11372	NONE	I	FINE ARTS	27,500
KATHARINA ROSENBERGER 9500 GILMAN DR MC 0099 LA JOLLA, CA 92093	NONE	I	MUSIC COMPOSITION	30,000
KATHE BURKHART 535 WEST 23RD STREET APT S3P NEW YORK, NY 10011	NONE	I	FINE ARTS	29,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
KATHLEEN DUVAL 102 EMERSON DR CB 3195 CHAPEL HILL, NC 27599	NONE	I	MASTERS OF THE CONTINENT: HOW AMERICAN INDIAN NATIONS RULED NORTH AMERICA INTO THE NINETEENTH CENTURY	25,000
KATHYA MARIA LANDEROSPO BOX 236 QUAKER HILL, CT 06375	NONE	I	PHOTOGRAPHY	30,000
KEVIN M KRUSE129 DICKINSON HALL PRINCETON, NJ 08544	NONE	I	THE DIVISION: JOHN DOAR, THE JUSTICE DEPARTMENT AND THE CIVIL RIGHTS MOVEMENT	50,000
Total ► 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
KIMBERLY BARTOSIK 1613 10TH AVENUE BROOKLYN, NY 11215	NONE	I	CHOREOGRAPHY	30,000
KRISTINE POTTER516 CROSSWOOD CT NASHVILLE, TN 37214	NONE	I	PHOTOGRAPHY	20,000
LAUREN GROFF317 NE 3RD AVE GAINSVILLE, FL 32601	NONE	I	FICTION	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LEE ANNE SCHMITT 24700 MCBEAN PARKWAY VALENCIA, CA 91355	NONE	I	FILM-VIDEO	35,000
LENORE A GRENOBLE 1115 EAST 58TH STREET CHICAGO, IL 60637	NONE	I	LIVING THE GOOD LIFE? LANGUAGE VITALITY, URBANIZATION, AND WELL- BEING IN THE ARCTIC	50,000
LIES KRAAL724 MILWOOD AVENUE VENICE, CA 90291	NONE	I	FINE ARTS	27,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LILY TUCK1261 MADISON AVENUE 6N NEW YORK, NY 10128	NONE	I	POSTCARDS FROM MARIANNE	25,000
LINCOLN QUILLIAN 2852 NORTH HALSTED STREET APT 4S CHICAGO, IL 60657	NONE	I	HIRING DISCRIMINATION IN NORTH AMERICAN AND EUROPEAN LABOR MARKETS: A META-ANALYSIS OF FIELD EXPERIMENTS	25,000
LISA FELDMAN BARRETT 18 WASHINGTON PARK NEWTONVILLE, MA 02460	NONE	I	SEVEN INSIGHTS ABOUT THE BRAIN	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LISA RANDALL13 CLEVELAND STREET CAMBRIDGE, MA 02138	NONE	I	BLACK HOLE MERGERS AND THEIR ENVIRONMENT.	50,000
LLOYD SCHWARTZ 27 PENNSYLVANIA AVENUE SOMERVILLE, MA 02145	NONE	I	POETRY	25,000
LUKAS FELZMANN1539 TREAT AVENUE SAN FRANCISCO, CA 94110	NONE	I	PHOTOGRAPHY	27,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MANUEL VALERA621 W 171ST ST NEW YORK, NY 10032	NONE	I	MUSIC COMPOSITION	65,000
MARCI SHORE192 LIVINGSTON STREET NEW HAVEN, CT 06511	NONE	I	PHENOMENOLOGICAL ENCOUNTERS: SCENES FROM CENTRAL EUROPE	25,000
MARGO SAWYER2300 TRINITY STREET AUSTIN, TX 78712	NONE	I	FINE ARTS	15,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MARIAH GARNETT1151 N AVE 64 LOS ANGELES, CA 90042	NONE	I	FILM-VIDEO	35,000
MARJORIE GARBER12 QUINCY STREET CAMBRIDGE, MA 02138	NONE	I	SHAKESPEARE IN BLOOMSBURY	25,000
MARK DANNER978 GRIZZLY PEAK BLVD BERKELEY, CA 94708	NONE	I	THE INTELLECTUAL: ROBERT SILVERS AND THE NEW YORK REVIEW OF BOOKS	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MARK DION2595 COUNTY ROUTE 7 COPAKE, NY 12516	NONE	I	FINE ARTS	45,000
MARK FATHI MASSOUD 501 RANCH VIEW ROAD SANTA CRUZ, CA 95064	NONE	I	THE STRUGGLE FOR ISLAMIC LAW AND HUMAN RIGHTS	50,000
MARK FRANKO35 WEST 92ND ST NEW YORK, NY 10025	NONE	I	SERGE LIFAR AND THE CRISIS OF NEOCLASSICISM	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MARK GRIECO 762 NORTH HOLLISTON AVENUE PASADENA, CA 91104	NONE	I	FILM-VIDEO	35,000
MARK JURDJEVIC 625 MANNING AVENUE TORONTO, CANADA M6G 2W2 CA	NONE	I	DESPERATION'S REMEDIES	50,000
MARSIA ALEXANDER-CLARKE 983 ATHENS STREET ALTADENA, CA 91001	NONE	I	FILM-VIDEO	25,000
Total ► 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MARTHA HODES50 PARK AVENUE NEW YORK, NY 10016	NONE	I	HOSTAGE IN THE DESERT: AN INQUIRY INTO HISTORY AND MEMORY	50,000
MARY DEWHURST LEWIS 34 RANDOLPH STREET BELMONT, MA 02478	NONE	I	THE FIRST FRENCH DECOLONIZATION: A NEW HISTORY OF NINETEENTH-CENTURY EMPIRE	25,000
MARYROSE COBARRUBIAS MENDOZA 258 HIGHLAND PLACE MONROVIA, CA 91016	NONE	I	FINE ARTS	27,500
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MASSIMO FRANCESCHETTI 952 STRATFORD DRIVE ENCINITAS, CA 92024	NONE	I	A WAVE THEORY OF INFORMATION	50,000
MATTEO MAGGIORIC CAMBRIDGE STREET CAMBRIDGE, MA 02138	NONE	I	GLOBAL BOND MARKETS	50,000
MATTHEW MAZZOTTA 41 EAST MAIN STREET CANTON, NY 13617	NONE	I	FINE ARTS	35,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MATTHEW PORTERFIELD 2741 NORTH CALVERT STREET BALTIMORE, MD 21218	NONE	I	FILM-VIDEO	30,000
MATTHEW RICKETTS 71 SOUTH ELLIOTT PLACE APT 2R BROOKLYN, NY 11217	NONE	I	MUSIC COMPOSITION	30,000
MATTHEW WHITE388 LINDEN CIRCLE PAWLEYS ISLAND, SC 29585	NONE	I	MUSIC COMPOSITION	30,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MEGHANN RIEPENHOFF 7810 SPRINGRIDGE ROAD BAINBRIDGE ISLAND, WA 98110	NONE	I	PHOTOGRAPHY	55,000
MERION ESTESPO BOX 21 YUCCA VALLEY, CA 92284	NONE	I	FINE ARTS	32,500
MICHAEL DAVID-FOX 236 10TH STREET SE WASHINGTON, DC 20003	NONE	I	SMOLENSK UNDER NAZI AND SOVIET RULE	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MICHAEL HARRISON 12 MADELINE PKWY YONKERS, NY 10705	NONE	I	MUSIC COMPOSITION	24,000
MICHAEL HELM1323 GOVERNORS ROAD DUNDAS, CANADA L9H 5E3 CA	NONE	I	FICTION	30,000
MICHAEL K BOURDAGHS 1050 EAST 59TH STREET CHICAGO, IL 60637	NONE	I	FROM POSTWAR TO COLD WAR: JAPANESE CULTURE IN THE AGE OF THREE WORLDS	50,000
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
MICHAEL T WOODSIDE 4704 - 142 STREET NW EDMONTON, CANADA T6H4A8 CA	NONE	I	EXPLORING HOW EVOLUTION SHAPES PROTEIN FOLDING IN SINGLE MOLECULES	25,000
MICHELLE LOPEZ 1628 SOUTH BROAD STREET PHILADELPHIA, PA 19145	NONE	I	FINE ARTS	30,000
MIGUEL P ECKSTEIN30 WOODALE LANE SANTA BARBARA, CA 93103	NONE	I	EYE MOVEMENTS TO FACES AFTER RECOVERY FROM CONGENITAL BLINDNESS	25,000
Total ► 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MIKA PELOONE SHIELDS AVENUE DAVIS, CA 95616	NONE	I	MUSIC COMPOSITION	25,000
MIRIAM SOLOMON 412 MCCLENAGHAN MILL ROAD WYNNEWOOD, PA 19096	NONE	I	EVIDENCE AND VALUES IN DSM 5.X	50,000
MOHAMMAD T HAJIAGHAYI 7310 DURBIN TERRACE BETHESDA, MD 20817	NONE	I	ALGORITHMS FOR (BIG) GRAPHS AND ALGORITHMIC GAME THEORY	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MONICA PRASAD 1810 CHICAGO AVENUE EVANSTON, IL 60208	NONE	I	STARVING THE BEAST: THE ORIGINS OF THE AMERICAN ANTITAX MOVEMENT	25,000
MONICA YOUNG150 NASSAU STREET NEW YORK, NY 10038	NONE	I	POETRY	55,000
MOON DUCHIN33 ROYAL AVENUE APT 1 CAMBRIDGE, MA 02138	NONE	I	GEOMETRY OF GERRYMANDERING	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
NANCY ROSE HUNTPO BOX 115560 GAINESVILLE, FL 32611	NONE	I	IDEATION AS HISTORY: DREAM COLLECTORS AND PICTURE ARCHIVES FROM POST-1968 URBAN CONGO	25,000
NANDINI SIKAND 2844 ALBRIGHT AVENUE ALLENTOWN, PA 18104	NONE	I	FILM-VIDEO	25,000
NAOMI ORESKES1 OXFORD STREEET CAMBRIDGE, MA 02138	NONE	I	INVENTING THE MAGIC OF THE MARKETPLACE	32,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
NEAL K DEVARAJ 8246 CAMINITO LACAYO LA JOLLA, CA 92037	NONE	I	SYNTHESIZING ARTIFICIAL CELLS	50,000
NICHOLAS MUELLNER 1700 GOLDEN GATE AVENUE LOS ANGELES, CA 90026	NONE	I	PHOTOGRAPHY	27,500
NICOLS PEREDA33 LIVINGSTON AVE NEW BRUNSWICK, NJ 08901	NONE	I	FILM-VIDEO	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
NICOLE MILLER9500 GILMAN DR LA JOLLA, CA 92093	NONE	I	FINE ARTS	30,000
NILE GREENBOX 951473 LOS ANGELES, CA 900951473	NONE	I	GLOBAL ISLAM: WHAT IS IT AND WHERE DID IT COME FROM?	50,000
PAOLO SQUATRITI 807 WEST LIBERTY STREET ANN ARBOR, MI 48103	NONE	I	PLEASING PLANTS AND WORRISOME WEEDS: BOTANICAL CHANGE IN EARLY MEDIEVAL EUROPE	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
PATRICIA ENGEL1121 CRANDON BLVD KEY BISCAYNE, FL 33149	NONE	I	FICTION	32,500
PATRICIA J WITTKOPP 7809 BAKER HEIGHTS COURT DEXTER, MI 48130	NONE	I	GENETIC AND MOLECULAR MECHANISMS OF EVOLUTIONARY CHANGE	50,000
PER A MYKLAND 520 WEST HURON STREET APT 609 CHICAGO, IL 60654	NONE	I	UNIFIED STATISTICAL INFERENCE FOR HIGH FREQUENCY DATA	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
PETER A HALL27 KIRKLAND STREET CAMBRIDGE, MA 02138	NONE	I	RENEGOTIATING THE SOCIAL CONTRACT: THE POLITICS OF ECONOMIC GROWTH AND DECLINE	25,000
PETER J KALLINEY506 ARCADIA PARK LEXINGTON, KY 405060027	NONE	I	BANDUNG GENERATION: LITERATURE, DECOLONIZATION, AND THE AESTHETIC COLD WAR	25,000
PETER J SCHMELZ 680 SAND HILL CIRCLE MENLO PARK, CA 94025	NONE	I	INTIMATE HISTORIES OF THE MUSICAL COLD WAR	55,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
PETER KAYAFAS 20 WEST 44TH STREET 405 NEW YORK, NY 10036	NONE	I	PHOTOGRAPHY	55,000
PHILIP BOHLMAN1010 E 59TH STREET CHICAGO, IL 60637	NONE	I	MUSIC AFTER NATIONALISM	42,000
PHILIP CHEN3908 GREENWOOD DR DES MOINES, IA 50312	NONE	I	CULTURAL DISCOURSE IN PRINT MEDIA	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
PONTUS LIDBERG447 BROADWAY NEW YORK, NY 10013	NONE	I	CHOREOGRAPHY	65,000
RACHEL ADAMS 1150 AMSTERDAM AVENUE MC 4927 NEW YORK, NY 10027	NONE	I	ANATOMIES OF CARE: NARRATIVE AND THE ART OF INTERDEPENDENCY	25,000
RANEE RAMASWAMY 4312 ZENITH AVE SOUTH MINNEAPOLIS, MN 55410	NONE	I	CHOREOGRAPHY	15,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
RANIA MATAR143 TAPPAN STREET BROOKLINE, MA 02445	NONE	I	PHOTOGRAPHY	27,500
REGINALD DWAYNE BETTS 386 PROSPECT STREET APT E1 NEW HAVEN, CT 06511	NONE	I	POETRY	32,000
RICHARD R JOHN2950 BROADWAY NEW YORK, NY 10027	NONE	I	A HISTORY OF THE AMERICAN ANTIMONOPOLY TRADITION	40,000
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
ROBERT B JACKSON 473 VIA ORTEGA ROOM 140 STANFORD, CA 94305	NONE	I	A GLOBAL PICTURE OF PLANTS, SOILS, AND RESOURCE UPTAKE BY DEPTH	50,000
ROBERT B PIPPIN 1130 EAST 59TH STREET CHICAGO, IL 60637	NONE	I	IDEALISM AND ANTI-IDEALISM IN MODERN EUROPEAN THOUGHT	50,000
ROBERT FINCH95 PHEASANT RUN WELLFLEET, MA 02667	NONE	I	"SUMMERS IN SQUID TICKLE"--A NARRATIVE OF A NEWFOUNDLAND OUTPORT	27,500
Total ▶ 3a				9,569,750

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Name and address (home or business)				
a <i>Paid during the year</i>				
ROBERT J SAMPSON 33 KIRKLAND STREET CAMBRIDGE, MA 02138	NONE	I	BECOMING MARKED: NAVIGATING THE SOCIAL TRANSFORMATION OF CRIME AND PUNISHMENT IN AMERICA	50,000
ROBERT LOBE54 GREENE ST 6B NEW YORK, NY 10013	NONE	I	FINE ARTS	10,000
ROBIN COSTE LEWIS 2849 AVENEL STREET LOS ANGELES, CA 90039	NONE	I	POETRY	60,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
RON JUDE2022 ONYX STREET EUGENE, OR 97403	NONE	I	PHOTOGRAPHY	30,000
RONALD SCHECHTER 118 STANLEY DRIVE WILLIAMSBURG, VA 23188	NONE	I	THE SECRET LIBRARY OF MARIE ANTOINETTE	27,500
ROXANE GAY936 S OLIVE ST LOS ANGELES, CA 90015	NONE	I	TV GUIDE	50,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SABINE HYLAND6 MELVILLE TERRACE ANSTRUTHER FIFE, UNITED KINGDOM KY10 3EW UK	NONE	I	HIDDEN TEXTS OF THE ANDES: DECIPHERING THE CORD WRITING ('KHIPU') OF PERU	55,000
SAIDIYA HARTMAN COLUMBIA UNIVERSITY NEW YORK, NY 10027	NONE	I	WAYWARD LIVES, BEAUTIFUL EXPERIMENTS	50,000
SALLY HASLANGER 77 MASSACHUSETTS AVE 32-D808 CAMBRIDGE, MA 02139	NONE	I	DOING JUSTICE TO THE SOCIAL	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SALLY KEITH4400 UNIVERSITY DRIVE FAIRFAX, VA 20330	NONE	I	POETRY	25,000
SAM PLUTA5550 S DORCHESTER 1003 CHICAGO, IL 60637	NONE	I	MUSIC COMPOSITION	60,000
SAM STEPHENSON 622 WEST 6TH STREET BLOOMINGTON, IN 47404	NONE	I	JANE'S ADDICTION'S VIBE AND TIME 1985-1991	65,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SAMUEL ADAMS 1728 WALNUT STREET APT 4 BERKELEY, CA 94709	NONE	I	MUSIC COMPOSITION	40,000
SANDEEP DAS 175 NORTH HARVARD STREET BOSTON, MA 02134	NONE	I	MUSIC COMPOSITION	40,000
SCOTT REYNOLDS NELSON 250 BALDWIN ST ATHENS, GA 30602	NONE	I	FROM THE AMERICAN CIVIL WAR TO THE RUSSIAN REVOLUTION: FOOD AND THE FATE OF EMPIRE	20,000
Total ► 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
SEAN BUCKELEW 4447 1/2 WILLOW BROOK AVENUE LOS ANGELES, CA 90029	NONE	I	FILM-VIDEO	32,500
SERGUEI ALEX OUSHAKINE 226 EAST PYNE BUILDING PRINCETON, NJ 08544	NONE	I	DISOWNED HISTORY: SOVIET PASTS IN THE AFTERLIVES OF EMPIRE	48,000
SETH MNOOKIN 43 CROWNINSHIELD ROAD BROOKLINE, MA 02446	NONE	I	THE SCIENCE, HISTORY, AND FUTURE OF AGING	25,000
Total ▶ 3a				9,569,750

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
SHANE MCCRAE 605 WEST 113TH STREET NEW YORK, NY 10025	NONE	I	POETRY	55,000
SHARI HUHNDORF 411 BOYNTON AVENUE BERKELEY, CA 94707	NONE	I	INDIGENEITY AND THE POLITICS OF SPACE: GENDER, GEOGRAPHY, CULTURE	25,000
SHARI MENDELSON 319 BEDFORD AVENUE BROOKLYN, NY 11249	NONE	I	FINE ARTS	26,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SHELLEY HIRSCH56 NORMAN AVE BROOKLYN, NY 11222	NONE	I	MUSIC COMPOSITION	29,000
SHEVAUN MIZRAHI 573 LEONARD ST APT 2 BROOKLYN, NY 11222	NONE	I	FILM-VIDEO	27,500
SHRI KULKARNI 1200 EAST CALIFORNIA BLVD PASADENA, CA 91125	NONE	I	EXOTIC COSMOLOGICAL EXPLOSIONS	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SIENNA R CRAIG95 STOWELL ROAD NORWICH, VT 05055	NONE	I	THE ENDS OF KINSHIP: CARE AND BELONGING BETWEEN NEPAL AND NEW YORK CITY	25,000
SNEANA STANIMIROVI 613 EMERSON STREET MADISON, WI 53715	NONE	I	NATURE VS. NURTURE--WHY IS STAR FORMATION SO INEFFICIENT?	25,000
STEFANIA TUTINO135 BROOKS AVENUE VENICE, CA 90291	NONE	I	A FAKE SAINT, AN AMBITIOUS JURIST, AND THE TRUE CHURCH: STORY OF A FORGERY IN SEVENTEENTH-CENTURY ITALY	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
STEPHEN HAYES3705 SE 11TH AVE PORTLAND, OR 97202	NONE	I	FINE ARTS	27,500
STEVE ROWELL404 EAST 5TH STREET MORRIS, MN 56267	NONE	I	FILM-VIDEO	35,000
STRATIS PAPAIOANNOU 48 COLLEGE STREET PROVIDENCE, RI 02912	NONE	I	A HISTORY OF BYZANTINE LITERATURE	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SUSAN FALUDI88 ROUND HILL ROAD NORTHAMPTON, MA 01060	NONE	I	LEFT IN THE WILDERNESS	25,000
SUZANNE MCCLELLAND 132 WILLOUGHBY AVE BROOKLYN, NY 112053728	NONE	I	FINE ARTS	65,000
SYLVAN OSWALD 1535 NORTH KENMORE AVENUE APT 1B LOS ANGELES, CA 90027	NONE	I	DRAMA & PERFORMANCE ART	25,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
TEJU COLE12 QUINCY ST CAMBRIDGE, MA 02138	NONE	I	RADIO LAGOS	55,000
THEO DAVIS23 HASLET STREET APT 2 ROSLINDALE, MA 02131	NONE	I	SENSATIONS OF FREEDOM: SOMATICS AND PERSONAL DEVELOPMENT IN AMERICAN LITERATURE	25,000
THOMAS CENTOLELLA 1164 JACKSON STREET APT 1 SAN FRANCISCO, CA 94133	NONE	I	POETRY	32,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
THOMAS CHRISTENSEN 5401 SOUTH GREENWOOD AVENUE CHICAGO, IL 60615	NONE	I	FETIS AND THE TONAL IMAGINATION: DISCOURSES OF TONALITY IN NINETEENTH-CENTURY FRANCE	50,000
THORSTEN TRIMPOP 2400 NORTH LAKEVIEW AVENUE APT 1901 CHICAGO, IL 60614	NONE	I	FILM-VIDEO	25,000
TIONA NEKKIA MCCLODDEN 1426 WEST GIRARD AVENUE APT 8 PHILADELPHIA, PA 19130	NONE	I	FINE ARTS	32,500
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
TODD GRAY4213 DON ARELLANES DR LOS ANGELES, CA 90008	NONE	I	FINE ARTS	26,000
TODD H OAKLEY4718 CALLE REINA SANTA BARBARA, CA 93110	NONE	I	SEA FIREFLIES TO CONNECT GENES AND BIODIVERSITY	25,000
TONIA KO1146 CONNECTICUT STREET LAWRENCE, KS 66044	NONE	I	MUSIC COMPOSITION	20,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
TSAR FEDORSKY35 LEVERETT STREET GLOUCESTER, MA 01930	NONE	I	PHOTOGRAPHY	30,000
TYEHIMBA JESS448 MYRTLE AVE APT 1 BROOKLYN, NY 11205	NONE	I	POETRY	25,000
ULRIKE MALMENDIEREVANS HALL BERKELEY, CA 94720	NONE	I	THE ROLE OF LIFETIME EXPERIENCES IN ECONOMIC DECISION-MAKING	45,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
VIVIEN A SCHMIDT 154 BAY STATE ROAD ROOM 303 BOSTON, MA 02215	NONE	I	THE RHETORIC OF DISCONTENT: A TRANSATLANTIC INQUIRY INTO THE WEST'S CRISIS OF DEMOCRATIC CAPITALISM	50,000
WAI-YEE LI129 FAYERWEATHER STREET CAMBRIDGE, MA 02138	NONE	I	THE PARADOXES OF THINGS: LIFE AND ART IN LATE IMPERIAL CHINA	25,000
WILLIAM BALE 322 SOUTH GAYOSO STREET NEW ORLEANS, LA 70119	NONE	I	A GUIDE TO HISTORICAL ECOLOGY OF THE LOWER AMAZON	50,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
WILLIAM D CABALLERO 4627 FINLEY AVENUE APT 101 LOS ANGELES, CA 90027	NONE	I	FILM-VIDEO	15,000
YANCE FORD3420 79TH STREET APT 5E JACKSON HEIGHTS, NY 11372	NONE	I	FILM-VIDEO	65,000
YEVGENIYA BARAS 4141 41ST STREET APT 4L SUNNYSIDE, NY 11104	NONE	I	FINE ARTS	65,000
Total ▶ 3a				9,569,750

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
YOSHIAKI ONISHI14 ALBANY DRIVE COLUMBIA, MO 65201	NONE	I	MUSIC COMPOSITION	30,000
Total ▶ 3a				9,569,750

TY 2019 Accounting Fees Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
AUDIT & TAXES	49,142	22,114		27,028

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2019 Depreciation Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Depreciation Schedule

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
COMPUTER EQUIPMENT	2005-01-01	156,496	150,138	SL	3.00000000000000	1,060	0		
LEASEHOLD IMPROVEMENTS	2008-07-01	588,709	143,910	SL	7.00000000000000	39,247	0		
OFFICE FURNITURE	2008-07-01	246,094	128,906	SL	5.00000000000000	35,156	0		
WEBSITE DEVELOPMENT	2008-07-01	828,172	810,172	SL	3.00000000000000	6,000	0		

TY 2019 Investments Corporate Stock Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
 FOUNDATION
 EIN: 13-5673173

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ALCON INC ORD	61,633	61,633
AMAZON.COM INC	585,765	585,765
ASSA ABLOY AB	461,055	461,055
BOOKING HOLDINGS INC	659,247	659,247
CITIGROUP INC.	629,144	629,144
COMPAGNIE FINAN RI	465,686	465,686
ESSILOR LUXOTTICA	464,952	464,952
EXPERIAN PLC	489,153	489,153
GUIDEWIRE SOFTWARE	662,462	662,462
JOHNSON & JOHNSON	514,942	514,942
KIRIN HOLDINGS CO	458,982	458,982
KKR & CO INC	649,160	649,160
MICROSOFT CORP	719,500	719,500
MORGAN STANLEY	277,939	277,939
NINTENDO CO LTD	888,382	888,382
NOVARTIS AG	507,488	507,488
REALPAGE INC	493,533	493,533
ROLLS-ROYCE HLDGS	409,422	409,422
SAP SE	564,236	564,236
SEAGATE TECHNOLOGY	674,671	674,671
TRANSDIGM GROUP INC	705,040	705,040
ABB LIMITED ZUERIC ORDF	237,423	237,423
ADYEN N V	174,614	174,614
ALEXION PHARMA INC	178,448	178,448
ALTICE U S A INC	270,666	270,666
AMAZON.COM INC	223,589	223,589
ANTHEM INC	234,019	234,019
BAYER AG	269,100	269,100
BOOKING HOLDINGS INC	221,803	221,803
BRIGHTHOUSE FINL INC	196,346	196,346

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
C N X RESOURCES CORP	130,502	130,502
CARGURUS INC	208,195	208,195
CBRE GROUP INC	288,676	288,676
CHARTER COMMUNICATN	372,056	372,056
CHEMOURS CO	294,844	294,844
CITIGROUP INC	253,781	253,781
DAI-ICHI LIFE HLDN	193,617	193,617
ERICSSON TELFON NEW	210,070	210,070
EXPEDIA GROUP INC.	185,607	185,607
EXPERIAN PLC	282,131	282,131
FACEBOOK INC	219,002	219,002
FERRARI	307,739	307,739
GENERAL MOTORS CO	214,089	214,089
GRACE W R & CO	127,435	127,435
INCYTE CORP	269,382	269,382
JD COMMON INC	348,777	348,777
KKR & CO INC	107,346	107,346
L OREAL	251,358	251,358
MICROSOFT CORP	295,560	295,560
MORGAN STANLEY	238,208	238,208
NETFLIX INC	205,791	205,791
RICOH LTD	225,629	225,629
ROLLS-ROYCE HLDGS	172,924	172,924
RSA INS GP PLC	218,952	218,952
SALESFORCE COM	266,892	266,892
SAP SE	318,824	318,824
SEAGATE TECHNOLOGY	299,464	299,464
SEATTLE GENETICS INC	373,744	373,744
TOSHIBA CORP LTD	202,032	202,032
TRANSDIGM GROUP INC	313,040	313,040

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
UNITED AIRLINES HLDGS	187,893	187,893

TY 2019 Investments - Other Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
SHORT-TERM INVESTMENTS	FMV	392,993	392,993
KING STREET CAPITAL, LTD.	FMV	877,420	877,420
ODYSSEY INVESTMENT PARTNERS FUND III	FMV	97,312	97,312
ROCKEFELLER ACCESS FUND 06-I, LLC	FMV	113,816	113,816
BOSTWICK COMPOUND OFFSHORE, LTD.	FMV	14,505,322	14,505,322
PAULSON RE RECOVERY, LP	FMV	2,180,579	2,180,579
VIKING LONG FUND III, LTD.	FMV	17,458,864	17,458,864
SPDR S & P ETF TRUST	FMV	5,266,917	5,266,917
COATUE LONG ONLY OFFSHORE FUND	FMV	11,338,082	11,338,082
VENBIO SELECT FUND, LTD.	FMV	12,822,337	12,822,337
TIGER GLOBAL LONG OPPORTUNITIES, LTD.	FMV	9,980,024	9,980,024
VALUEACT CAPITAL INTERNATIONAL	FMV	13,879,635	13,879,635
BRIARWOOD CAPITAL MANAGEMENT	FMV	732,154	732,154
CASDIN PARTNERS OFFSHORE, LTD	FMV	10,429,806	10,429,806
JPM - TRACKERS MSCI JAPAN HEDGE	FMV	9,209,420	9,209,420
JPM - ISHARES CORE MSCI EMERGING	FMV	5,161,229	5,161,229
PARTNERS CAPITAL HARRIER FUND, LTD	FMV	16,721,878	16,721,878
HUNT LANE CAPITAL FUND, LTD	FMV	9,522,660	9,522,660
ISHANA CAPITAL OFFSHORE FUND	FMV	7,849,031	7,849,031
PALESTRA CAPITAL OFFSHORE FUND, LTD	FMV	4,445,996	4,445,996
AKO EUROPEAN LONG-ONLY FUND	FMV	13,776,000	13,776,000
WMQS GLOBAL EQUITY OFFSHORE FUND, LTD.	FMV	11,614,150	11,614,150
THE CHILDRENS INVESTMENT FUND	FMV	13,521,800	13,521,800
FINANCIAL OPPORTUNITY FUND, LTD.	FMV	7,283,967	7,283,967
JPM - ISHARES GLOBAL REIT ETF	FMV	1,547,549	1,547,549
ODYSSEY INVESTMENT PARTNERS FUND IV	FMV	2,692	2,692
PARTNERS PHOENIX FUND II, LTD	FMV	21,030,717	21,030,717
AEOLUS PROPERTY FUND, LP	FMV	3,386,607	3,386,607
RENAISSANCE INSTITUTIONAL EQUITIES FUND, LLC	FMV	9,994,738	9,994,738
LONE STAR FUND XI, LP	FMV	207,879	207,879

Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
PC MERLIN FUND CAYMAN, LP	FMV	430,766	430,766
PC CONDOR FUND CAYMAN, LP	FMV	438,677	438,677
ARROWSTREET CAPITAL GLOBAL FUND	FMV	6,082,200	6,082,200
HILLHOUSE CHINA VALUE FUND, LTD	FMV	6,644,460	6,644,460

**TY 2019 Land, Etc.
Schedule**

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
COMPUTER EQUIPMENT	156,496	151,198	5,298	
LEASEHOLD IMPROVEMENTS	588,709	183,157	405,552	
OFFICE FURNITURE	246,094	164,062	82,032	
WEBSITE DEVELOPMENT	828,172	816,172	12,000	

TY 2019 Legal Fees Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	6,595	0		6,595

TY 2019 Other Assets Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Other Assets Schedule

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PREPAID FEDERAL EXCISE TAXES	161,037	0	0
DUE FROM BROKER	15,145,290	37,786,454	37,786,454

TY 2019 Other Expenses Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
IT AND OFFICE EQUIPMENT	382,680	23,918		339,995
OFFICE EXPENSES	41,474	2,464		39,010
PUBLICITY EXPENSE	58,824	0		58,824
INSURANCE	29,225	1,736		27,489
MISCELLANEOUS	31,309	0		54,105
ANNUITY PAYMENTS	27,360	0		27,360
OTHER DEDUCTIONS RELATED TO PORTFOLIO INCOME PER K-1'S	524,786	524,786		0
PENSION AND POSTRETIREMENT BENEFIT CHANGES OTHER THAN PERIODIC BENEFIT COSTS	1,012,035	0		0

TY 2019 Other Income Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER INVESTMENT LOSSES PASSED THROUGH FROM INVESTMENTS IN LP'S	-126,353	-126,353	-126,353
UNRELATED BUSINESS INCOME (LOSSES) PASSED THROUGH FROM INVESTMENTS IN LP'S	84,149		84,149

TY 2019 Other Increases Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Description	Amount
DEFERRED FEDERAL EXCISE TAX	269,623
UNREALIZED GAIN ON INVESTMENTS	4,683,463
NON TAXABLE LOSSES PER K-1'S FROM PARTNERSHIPS	21,209

TY 2019 Other Liabilities Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Description	Beginning of Year - Book Value	End of Year - Book Value
DEFERRED EXCISE TAX LIABILITY	1,097,454	827,831
EXCISE TAX PAYABLE	0	438,115
POSTRETIREMENT BENEFIT LIABILITY	3,678,945	3,798,674
DEFERRED LEASE INCENTIVE	1,030,442	1,023,503
PENSION ACCOUNT LIABILITY	2,483,944	2,872,236

TY 2019 Other Professional Fees Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT CUSTODY AND ADVISORY FEES	1,325,149	1,325,149		0
ACTUARY FEES	22,890	1,360		21,530
OTHER CONSULTANTS	117,966	0		78,476

TY 2019 Taxes Schedule

Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

EIN: 13-5673173

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	1,069,152	0		0
FOREIGN TAX WITHHELD	8,735	8,735		0

Schedule B (Form 990, 990-EZ, or 990-PF) <small>Department of the Treasury Internal Revenue Service</small>	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF. ▶ Go to www.irs.gov/Form990 for the latest information.	OMB No. 1545-0047
		2019
Name of the organization JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION		Employer identification number 13-5673173

Organization type (check one):

Filers of:	Section:
Form 990 or 990-EZ	<input type="checkbox"/> 501(c)() (enter number) organization
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	<input type="checkbox"/> 527 political organization
Form 990-PF	<input checked="" type="checkbox"/> 501(c)(3) exempt private foundation
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation
	<input type="checkbox"/> 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION	Employer identification number 13-5673173
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Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
—	See Additional Data Table 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
—	 	\$ 	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)

Name of organization JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION	Employer identification number 13-5673173
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Part II Noncash Property			
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
13	170 SHARES - MSCI JAPAN EFT	\$ 10,061	2019-12-20
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
28	357 SHARES - MICROSOFT, INC. 500 SHARES - SLACK TECHNOLOGIES, INC.	\$ 64,377	2019-12-03
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
-		\$	

13-5673173

Part III *Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.)* ▶ \$ _____
Use duplicate copies of Part III if additional space is needed.

Schedule B (Form 990, 990-EZ, or 990-PF) (2019)

Additional Data

Software ID:
Software Version:
EIN: 13-5673173
Name: JOHN SIMON GUGGENHEIM MEMORIAL
FOUNDATION

Form 990 Schedule B, Part I - Contributors (see Instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>1</u>	ALAR TOOMRE	\$ 5,000	Person <input checked="" type="checkbox"/>
	55 HILLSIDE AVENUE		Payroll <input type="checkbox"/>
	WEST NEWTON, MA 02465		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>2</u>	CINDY SHERMAN	\$ 10,000	Person <input checked="" type="checkbox"/>
	7677 CENTER AVENUE STE 400		Payroll <input type="checkbox"/>
	HUNTINGTON BEACH, CA 92647		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>3</u>	COHEN CHARITABLE FOUNDATION	\$ 5,000	Person <input checked="" type="checkbox"/>
	340 RIVERSIDE DRIVE 8B		Payroll <input type="checkbox"/>
	NEW YORK, NY 10025		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>4</u>	DEBORAH E HARKNESS	\$ 10,000	Person <input checked="" type="checkbox"/>
	1080 DARBY ROAD		Payroll <input type="checkbox"/>
	SAN MARINO, CA 91108		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>5</u>	DWIGHT LEE	\$ 12,500	Person <input checked="" type="checkbox"/>
	434 WEST 20TH STREET 3		Payroll <input type="checkbox"/>
	NEW YORK, NY 10011		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>6</u>	ERIC MASKIN	\$ 10,000	Person <input checked="" type="checkbox"/>
	HARVARD UNIVERSITY - LITTAUER 312		Payroll <input type="checkbox"/>
	CAMBRIDGE, MA 02138		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>7</u>	ESTATE OF ALEJANDRO PLANCHART	\$ 40,000	Person <input checked="" type="checkbox"/>
	222 E CARRILLO STREET SUITE 106		Payroll <input type="checkbox"/>
	SANTA BARBARA, CA 93101		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>8</u>	ESTATE OF FRANKIE RUBENSTEIN	\$ 10,000	Person <input checked="" type="checkbox"/>
	1608 WALNUT STREET SUITE 900		Payroll <input type="checkbox"/>
	PHILADELPHIA, PA 19103		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>9</u>	ESTATE OF PHILIP ROTH	\$ 921,548	Person <input checked="" type="checkbox"/>
	46 WEST STREET PO BOX 278		Payroll <input type="checkbox"/>
	LITCHFIELD, CT 06759		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>10</u>	JEROLD S KAYDEN	\$ 33,333	Person <input checked="" type="checkbox"/>
	11 CLEMENT CIRCLE		Payroll <input type="checkbox"/>
	CAMBRIDGE, MA 02138		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>11</u>	JULIANNE H TRUST ESTATE	\$ 25,000	Person <input checked="" type="checkbox"/>
	500 FIFTH AVENUE		Payroll <input type="checkbox"/>
	NEW YORK, NY 10001		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>12</u>	LILI LYNTON	\$ 50,000	Person <input checked="" type="checkbox"/>
	33 WEST 81 STREET		Payroll <input type="checkbox"/>
	NEW YORK, NY 10024		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>13</u>	LISA WOLFSON HESS	\$ 10,061	Person <input checked="" type="checkbox"/>
	47 OAKLAND AVENUE		Payroll <input type="checkbox"/>
	SAG HARBOR, NY 11963		Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contribution.)
<u>14</u>	MARK R OSBORNE	\$ 5,000	Person <input checked="" type="checkbox"/>
	1 LEFURGY TERRACE		Payroll <input type="checkbox"/>
	HASTINGSONHUDSON, NY 10706		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>15</u>	MERLE OLSON	\$ 7,500	Person <input checked="" type="checkbox"/>
	275 S 19TH STREET		Payroll <input type="checkbox"/>
	PHILADELPHIA, PA 19103		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>16</u>	NORTON W W & COMPANY	\$ 12,292	Person <input checked="" type="checkbox"/>
	500 FIFTH AVENUE		Payroll <input type="checkbox"/>
	NEW YORK, NY 10010		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>17</u>	THE AARON COPLAND FUND FOR MUSIC	\$ 20,000	Person <input checked="" type="checkbox"/>
	254 WEST 31ST STREET 15TH FLOOR		Payroll <input type="checkbox"/>
	NEW YORK, NY 10001		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>18</u>	THE DAVID GEFFEN FOUNDATION	\$ 15,000	Person <input checked="" type="checkbox"/>
	12011 SAN VINCENTE BLVD STE 606		Payroll <input type="checkbox"/>
	LOS ANGELES, CA 90049		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>19</u>	THE DOROTHY TAPPER GOLDMAN FOUNDATION	\$ 50,000	Person <input checked="" type="checkbox"/>
	1070 PARK AVENUE		Payroll <input type="checkbox"/>
	NEW YORK, NY 10128		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>20</u>	THE RICHARD AMD NATALIE JACOFF FOUNDATION INC	\$ 10,000	Person <input checked="" type="checkbox"/>
	SEVEN TIMES SQUARE 46TH FLOOR		Payroll <input type="checkbox"/>
	NEW YORK, NY 10036		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>21</u>	THE TAYLOR FAMILY FOUNDATION	\$ 15,000	Person <input checked="" type="checkbox"/>
	100 CRESCENT COURT SUITE 525		Payroll <input type="checkbox"/>
	DALLAS, TX 75201		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>22</u>	SAMUEL GILLIAM	\$ 5,000	Person <input checked="" type="checkbox"/>
	1900 QUINCY STREET NW		Payroll <input type="checkbox"/>
	WASHINGTON, DC 20011		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>23</u>	SANDRA WIJNBERG	\$ 10,000	Person <input checked="" type="checkbox"/>
	16 WEST 77TH STREET - 10E		Payroll <input type="checkbox"/>
	NEW YORK, NY 10024		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
<u>24</u>	SCHWARTZ FAMILY FOUNDATION	\$ 20,000	Person <input checked="" type="checkbox"/>
	120 EAST END AVENUE APT 17B		Payroll <input type="checkbox"/>
	NEW YORK, NY 10028		Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)

Form 990 Schedule B, Part I - Contributors (see Instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>25</u>	STACY SCHIFF	\$ 10,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
	45 EAST 62ND STREET		
	NEW YORK, NY 10065		
<u>26</u>	STEVEN LAVINE	\$ 7,500	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
	12100 WILSHIRE BLVD SUITE 905		
	LOS ANGELES, CA 90025		
<u>27</u>	WAYNE NORDBERG	\$ 5,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
	152 BEDFORD ROAD 2ND FLOOR		
	KATONAH, NY 10536		
<u>28</u>	WENDY BELZBERG AND STRAUSS ZELNICK	\$ 195,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contribution.)
	115 EAST 67TH STREET		
	NEW YORK, NY 10065		
<u>29</u>	WILLIAM KELLY	\$ 5,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution.)
	425 RIVERSIDE DRIVE		
	NEW YORK, NY 10025		